



**INSTITUTE OF EDUCATION SCIENCES**  
**GRANTS.GOV APPLICATION SUBMISSION GUIDE**  
**FOR**  
**CFDA NUMBER: 84.305**  
**SEPTEMBER EDUCATION RESEARCH APPLICATION**  
**PACKAGES**

**84-305A2013-2**  
**84-305B2013**  
**84-305E2013**  
**84-305H2013**

**CFDA NUMBER: 84.324**  
**SEPTEMBER SPECIAL EDUCATION RESEARCH**  
**APPLICATION PACKAGES**

**84-324A2013-2**  
**84-324B2013**  
**84-324D2013**

## PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control numbers for this information collection are 4040-0001 and 4040-0010. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

Note: OMB has granted an extension to allow continued use of the SF 424 Research & Related family of forms. Without the extension, the forms package would have expired on June 30, 2011.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this family of forms, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of these forms, write directly to: Office of the Deputy Director for Administration and Policy, Institute of Education Sciences, U.S. Department of Education, 555 New Jersey Avenue, NW, Suite 600, Washington D.C. 20208.

# GRANTS.GOV APPLICATION SUBMISSION GUIDE

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## PART I OVERVIEW

### **1. IES RESEARCH AND RESEARCH TRAINING GRANT PROGRAMS**

The over-arching priority of the Institute of Education Sciences (Institute) is research that contributes to improved academic achievement for all students, and particularly for those whose education prospects are hindered by inadequate education services and conditions associated with poverty, race/ethnicity, limited English proficiency, disability, and family circumstance. To address this priority, the Institute has established research and research training programs through its National Center for Education Research (NCER) and its National Center for Special Education Research (NCSER).

On March 6, 2012, the Institute announced in the Federal Register the research and research training grant competitions listed below. You may review the Federal Register notice announcing the Institute's FY 2013 grant competitions at <http://ies.ed.gov/funding/>.

- Education Research Programs (CFDA 84.305A)
- Special Education Research Programs (CFDA 84.324A)
- Research Training Programs in the Education Sciences (CFDA 84.305B)
- Research Training Program in Special Education: Early Career Development and Mentoring (CFDA 84.324B)
- Statistical and Research Methodology in Education (CFDA 84.305D)
- Accelerating the Academic Achievement of Students with Learning Disabilities Research Initiative (CFDA 84.324D)
- Evaluation of State and Local Education Programs and Policies (CFDA 84.305E)
- Researcher-Practitioner Partnerships in Education Research (CFDA 84.305H)

Each program is identified by its title and a unique CFDA (Catalog of Federal Domestic Assistance) alphanumeric code. All of the National Center for Education Research programs have the numeric code 84.305, and specific programs are distinguished by alpha characters (e.g., CFDA 84.305**A**, Education Research Programs; CFDA 84.305**E**, Evaluation of State and Local Education Programs and Policies). All of the National Center for Special Education Research programs have the numeric code 84.324, and specific programs are distinguished by alpha characters (e.g., CFDA 84.324**A**, Special Education Research Programs).

## PART II GENERAL INSTRUCTIONS

You should read *all* sections of this document carefully to ensure successful submission of your application.

### **2. MANDATORY SUBMISSION OF ELECTRONIC APPLICATIONS**

Grant applications must be submitted electronically through the Internet using the software provided on the Grants.gov website: <http://www.grants.gov/>. You must follow the application procedures and submission requirements described in this document, the Institute's *Grants.gov Application Submission Guide*, and the instructions in the User Guides provided by Grants.gov ([http://www.grants.gov/applicants/app\\_help\\_reso.jsp#guides](http://www.grants.gov/applicants/app_help_reso.jsp#guides)).

Applications submitted in paper format will be rejected unless you (a) qualify for one of the allowable exceptions to the electronic submission requirement described in the Federal Register notice announcing the relevant grant competition (and in Part V of this document) and (b) submit, no later than two weeks before the application deadline date, a written statement to the Institute that documents that you qualify for one of these exceptions.

### **3. APPLICATION INSTRUCTIONS AND APPLICATION PACKAGE**

#### **A. Documents Needed to Prepare Applications**

To complete and submit an application, you need to review and use **three documents**: (1) the Request for Applications, (2) the IES Grants.gov Application Submission Guide, and (3) the Application Package.

1. The Request for Applications describes the substantive requirements for the application.

✓ Request for Applications <http://ies.ed.gov/funding/>

2. The IES Grants.gov Application Submission Guide (this document) provides the instructions for completing and submitting the forms and attaching all necessary Adobe Portable Document Format (PDF) files.

✓ IES Grants.gov Application Submission Guide <http://ies.ed.gov/funding/>

The IES Grants.gov Application Submission Guide is also available on Grants.gov as part of the relevant funding opportunity application package. Additional help navigating Grants.gov is available in the Grants.gov User Guides ([http://www.grants.gov/applicants/app\\_help\\_reso.jsp#guides](http://www.grants.gov/applicants/app_help_reso.jsp#guides)).

3. The Application Package provides all of the forms that need to be completed and submitted. The application forms approved for use by the Institute's grant competitions are found in the government-wide SF 424 Research and Related (R&R) Form family (OMB Numbers 4040-0001 and 4040-0010). You must follow the directions described in Part III of this document and also described in the Request for Applications to download the correct Application Package from Grants.gov.

✓ Application Package [http://grants.gov/applicants/apply\\_for\\_grants.jsp](http://grants.gov/applicants/apply_for_grants.jsp)

### **4. APPLICATION SUBMISSION PROCESS AND DEADLINE**

Applications must be submitted **electronically by 4:30:00 p.m., Washington, D.C. time** on the application deadline date, using the standard forms in the Application Package and the instructions provided on the Grants.gov website and in this document.

The following grant programs are accepting applications for the **September 20, 2012** deadline:

- Education Research Programs (CFDA 84.305A)
- Special Education Research Programs (CFDA 84.324A)
- Research Training Programs in the Education Sciences (CFDA 84.305B)
- Research Training Program in Special Education: Early Career Development and Mentoring (CFDA 84.324B)
- Accelerating the Academic Achievement of Students with Learning Disabilities Research Initiative (CFDA 84.324D)
- Evaluation of State and Local Education Programs and Policies (CFDA 84.305E)
- Researcher-Practitioner Partnerships in Education Research (CFDA 84.305H)

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the relevant program officer listed below:

- 84.305A Education Research Emily Doolittle ([Emily.Doolittle@ed.gov](mailto:Emily.Doolittle@ed.gov))
- 84.324A Special Education Research Jacquelyn Buckley ([Jacquelyn.Buckley@ed.gov](mailto:Jacquelyn.Buckley@ed.gov))

- 84.305B Education Research Training Meredith Larson ([Meredith.Larson@ed.gov](mailto:Meredith.Larson@ed.gov))
- 84.324B Special Education Research Training Amy Sussman ([Amy.Sussman@ed.gov](mailto:Amy.Sussman@ed.gov))
- 84.324D Accelerating Academic Achievement Kristen Lauer ([Kristen.Lauer@ed.gov](mailto:Kristen.Lauer@ed.gov))
- 84.305E Evaluation of State and Local Allen Ruby ([Allen.Ruby@ed.gov](mailto:Allen.Ruby@ed.gov))
- 84.505H Researcher-Practitioner Partnerships Allen Ruby ([Allen.Ruby@ed.gov](mailto:Allen.Ruby@ed.gov))

## 5. REGISTRATION PROCESS

Your institution must be registered with Grants.gov before you can apply for an IES grant on the Grants.gov website.

- ✓ Grants.gov Registration: [http://grants.gov/applicants/get\\_registered.jsp](http://grants.gov/applicants/get_registered.jsp)

The registration process may take between three to five business days or as long as four weeks to complete. You must complete *all* registration steps to allow a successful application submission via Grants.gov. You may begin working on your application while completing the registration process, but you will not be permitted to submit your application until all of the Registration Steps are complete.

Note: On the application, you must provide your organization's DUNS number as provided by the Central Contractor Registry (CCR).

- ✓ Central Contractor Registry: <http://www.ccr.gov/>

The DUNS number must be the one that was used when your organization registered with the CCR.

**Note: Applicant organizations need to update their CCR registration annually.** As of October 11, 2010, each organization's e-Biz POC (Point of Contact) is also required to update their CCR registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. Additional information is provided at [http://www.grants.gov/applicants/org\\_step5.jsp](http://www.grants.gov/applicants/org_step5.jsp).

## 6. SUBMISSION AND SUBMISSION VERIFICATION PROCESS

### A. Submission

To facilitate use of Grants.gov, the Institute recommends that you carefully read all of the submission procedures described below to ensure that your application is received in a timely manner and accepted by the Institute. To submit an application, you must complete the appropriate application package (instructions in Part III below and in the relevant Request for Applications) and follow the directions on Grants.gov. **You are strongly encouraged to use the "Check Application for Errors" button at the top of the grant application package to identify errors or missing required information that can prevent an application from being processed and sent forward for review.**

Note: You must click the "Save and Submit" button at the top of the application package to upload the application to the Grants.gov website. The "Save and Submit" button will only become active after you have used the "Check Package for Errors" button and then clicked the "Save" button. Once the "Save and Submit" button is clicked, you will need to enter the user name and password that were created upon registration with Grants.gov.

Additional help with submitting an application electronically through the Grants.gov website is available.

- Grants.gov provides the following support for applicants.
  - Tips for troubleshooting common technical issues that may arise when submitting an application electronically [http://www.grants.gov/help/trouble\\_tips.jsp](http://www.grants.gov/help/trouble_tips.jsp).

- A step-by-step tutorial on downloading, completing and submitting the application package ([http://grants.gov/applicants/apply\\_for\\_grants.jsp](http://grants.gov/applicants/apply_for_grants.jsp)).
- The Institute also offers webinars on the application process <http://ies.ed.gov/funding/webinars/index.asp>.

The Institute strongly recommends that you not wait until the deadline date to submit an application. Grants.gov will put a date/time stamp on the application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection. If Grants.gov rejects your application due to errors in the application package, you will need to resubmit successfully before 4:30:00 p.m. Washington, D.C. time on the deadline date as determined by Grants.gov. As an example, if you begin the submission process at 4:00:00 p.m. Washington, D.C. time on the deadline date, and Grants.gov rejects the application at 4:15:00 p.m. Washington, D.C. time, there may not be enough time for you to locate the error that caused the submission to be rejected, correct it, and then attempt to submit the application again before the 4:30:00 p.m. Washington, D.C. time deadline. **You are strongly encouraged to begin the submission process at least three to four days before the deadline date to ensure a successful, on-time submission.**

If you experience technical problems submitting to Grants.gov before the closing date/time you should contact Grants.gov Customer Support (1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov)) for help or use the customer support available on the Grants.gov website: <http://www.grants.gov/help/help.jsp>

To document problems with Grants.gov, you must report the problem to Grants.gov Customer Support (1-800-518-4726) and obtain a nine-digit Case Number beginning with the numeral one (e.g., 1-12345678). If your application is not submitted successfully before the deadline (4:30:00 p.m. Washington, D.C. time as determined by Grants.gov) and you believe this was due to a technical error *with the Grants.gov system* in the submission process, **the nine-digit Case Number must be provided to document that a problem was reported to Grants.gov Customer Support.**

## B. Submission Verification

The Institute urges you to verify that Grants.gov and the Institute have received the application on time and that it was validated successfully. To see the date and time that your application was received by Grants.gov, you need to log on to Grants.gov and click on the "Track My Application" link <https://apply07.grants.gov/apply/checkAppIStatus.faces>. For a **successful submission**, the date/time received should be no later than 4:30:00 p.m. Washington D.C. time on the deadline date, AND the application status should be: Validated (i.e., no errors in submission), Received by Agency (i.e., Grants.gov has transmitted the submission to the U.S. Department of Education), or Agency Tracking Number Assigned (the U.S. Department of Education has assigned a unique PR/Award Number to the application).

**Note: If the date/time received is later than 4:30:00 p.m. Washington, D.C. time on the deadline date, the application is late.** If the application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will change either to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," the application has not been received successfully. Grants.gov provides information on reasons why applications may be rejected in its Frequently Asked Questions (FAQ) page and also in its Adobe Reader Error Message document.

- ✓ Grants.gov FAQ [http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54).
- ✓ Grants.gov Adobe Reader Error Messages <http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf>

You will receive *four emails* regarding the status of your submission; the first three will come from Grants.gov and the fourth will come from the U.S. Department of Education. Within two days of submitting a grant application to Grants.gov, you will receive three emails from Grants.gov:

1. The first email message will confirm receipt of the application by the Grants.gov system and will provide you with an application tracking number beginning with the word "GRANT", for example GRANT00234567. You can use this number to track your application on Grants.gov using the "Track My Application" link <https://apply07.grants.gov/apply/checkAppStatus.faces> before it is transmitted to the U.S. Department of Education.
2. The second email message will indicate that the application EITHER has been successfully validated by the Grants.gov system prior to transmission to the U.S. Department of Education OR has been rejected due to errors, in which case it *will not* be transmitted to the Department.
3. The third email message will indicate that the U.S. Department of Education has confirmed retrieval of the application from Grants.gov once it has been validated.

If the second email message indicates that the application, as identified by its unique application tracking number, is valid and the time of receipt was no later than 4:30:00 p.m. Washington D.C. time, then the application is successful and on-time.

**Note:** You should *not* rely solely on e-mail to confirm whether an application has been received on-time and validated successfully. **The Institute urges you to use the "Track My Application" link on Grants.gov to verify on-time, valid submissions in addition to the confirmation emails.**

Grants.gov provides information about how to track an application in the following PDF file <http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf>.

Once Grants.gov validates the application and transmits it to the U.S. Department of Education, you will receive an email from the U.S. Department of Education.

4. This fourth email message will indicate that the application has been assigned a PR/Award number unique to the application beginning with the letter R, followed by the section of the CFDA number unique to that research competition (e.g., 305A or 324D), the fiscal year for the submission (e.g., 13 for fiscal year 2013), and finally four digits unique to the application, for example R305A13XXXX or R324D13XXXX. If the application was received after the closing date/time, the email will also indicate that the application is late and will not be given further consideration.

**Note: The Institute strongly recommends that you begin the submission process at least three to four days in advance of the closing date to allow for a successful and timely submission.**

### C. Late Applications

**The Institute does not accept late applications.** If you experience any technical problems submitting your application through Grants.gov you must contact the Grants.gov Support Desk at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Grants.gov Support Desk will assign a Case Number which you must keep as a record of the problems.

If your application is submitted after 4:30:00 p.m. Washington, D.C. time on the application deadline date, and you believe that *a technical problem* with the Grants.gov system prevented you from being able to submit your application on time, you should contact the relevant program officer listed below and provide an explanation of the problem experienced with Grants.gov, along with the Grants.gov Support Desk Case Number.

- 84.305A Education Research Emily Doolittle ([Emily.Doolittle@ed.gov](mailto:Emily.Doolittle@ed.gov))
- 84.324A Special Education Research Jacquelyn Buckley ([Jacquelyn.Buckley@ed.gov](mailto:Jacquelyn.Buckley@ed.gov))
- 84.305B Education Research Training Meredith Larson ([Meredith.Larson@ed.gov](mailto:Meredith.Larson@ed.gov))
- 84.324B Special Education Research Training Amy Sussman ([Amy.Sussman@ed.gov](mailto:Amy.Sussman@ed.gov))
- 84.324D Accelerating Academic Achievement Kristen Lauer ([Kristen.Lauer@ed.gov](mailto:Kristen.Lauer@ed.gov))
- 84.305E Evaluation of State and Local Allen Ruby ([Allen.Ruby@ed.gov](mailto:Allen.Ruby@ed.gov))
- 84.505H Researcher-Practitioner Partnerships Allen Ruby ([Allen.Ruby@ed.gov](mailto:Allen.Ruby@ed.gov))

Your application will be accepted **only** if it is possible to confirm that a technical problem occurred with the Grants.gov system and that the problem (as documented with the Grants.gov Support Desk) affected your ability to submit the application by 4:30:00 p.m. Washington, D.C. time on the application deadline date. The Institute will contact you approximately one month after the submission deadline as to whether the application will be accepted.

Table 1 provides a summary of the different alpha/numeric identifiers that are associated with submissions to the Institute and how each is used.

<b>Table 1: Alpha/Numeric Identifiers Used with the Application</b>			
	<b>COMPONENTS</b>	<b>EXAMPLES</b>	<b>WHEN IT'S USED</b>
<b>CFDA Number</b>	<ul style="list-style-type: none"> <li>The numeric code for a program: 84.305 for the NCER programs and 84.324 for the NCSER programs</li> <li>The alpha identifier for the specific competition: A, B, D, E, or H</li> </ul>	<ul style="list-style-type: none"> <li>84.305A designates Education Research</li> <li>84.324B designates Special Education Research Training</li> </ul>	The CFDA number is used by the U.S. Department of Education (ED) to designate a specific program competition announced in the Federal Register and described in an IES Request for Applications
<b>Competition ID</b>	<ul style="list-style-type: none"> <li>The CFDA number</li> <li>The fiscal year of the competition</li> <li>A numeric identifier to designate the first or second round of competition in a given fiscal year</li> </ul>	<ul style="list-style-type: none"> <li>84-324A2013-2 designates the "second" Special Education Research Grants competition in Fiscal Year 2013</li> </ul>	This ID is used by Grants.gov to identify the application package that must be used with a specific competition
<b>Opportunity Number</b>	<ul style="list-style-type: none"> <li>ED-GRANTS</li> <li>The date when the grant competition was announced in the Federal Register</li> <li>The ED-GRANTS order</li> </ul>	<ul style="list-style-type: none"> <li>ED-GRANTS-030612-002 designates the second in a sequence of grant competitions offered by ED and listed in the Federal Register notice dated March 6, 2012</li> </ul>	This number is used by Grants.gov to identify the grant competitions offered by ED for a given fiscal year
<b>Application Package</b>	<ul style="list-style-type: none"> <li>The CFDA number</li> <li>The fiscal year</li> <li>The order for a given competition</li> </ul>	<ul style="list-style-type: none"> <li>84-305A2013-2 designates the Application Package that must be used to submit an application to the Education Research competition for the second deadline in Fiscal Year 2013</li> </ul>	A number that you must use to identify and access the correct application package
<b>Grants.gov Tracking Number</b>	<ul style="list-style-type: none"> <li>The word GRANT</li> <li>8 digits unique to the submission</li> </ul>	<ul style="list-style-type: none"> <li>GRANT01234567</li> </ul>	A number that you can use to reference and track your application once it is submitted to Grants.gov, and <i>before</i> it is transmitted to ED
<b>PR/Award Number</b>	<ul style="list-style-type: none"> <li>The letter R</li> <li>The section of the CFDA number unique to that competition (e.g., 324A for Special Education Research)</li> <li>The fiscal year (e.g., 13 for 2013)</li> <li>Four digits unique to your application</li> </ul>	<ul style="list-style-type: none"> <li>R324A13XXXX designates a unique application submitted to the Special Education Research competition in FY2013</li> </ul>	<b>You must use this number to obtain information about your application after it has been transmitted to ED.</b> Once the application is at ED and assigned this PR/Award Number, it is no longer possible to track the application in Grants.gov using the Grants.gov Tracking Number

## **7. WARNINGS AND RULES**

### **A. Working Offline**

When you download the application package from Grants.gov, you will be working offline and saving data on your computer. You will need to logon to Grants.gov to upload the completed application package and submit the application.

### **B. Dial-Up Internet Connections**

When using a dial-up connection to upload and submit an application, it can take significantly longer than when connected to the Internet with a high-speed connection (e.g. cable modem/DSL/T1). Although times will vary depending upon the size of the application, it can take a few minutes to a few hours to complete the grant submission using a dial-up connection.

### **C. Software Requirements**

You will need Adobe software (at least Adobe Reader 8.1.2) to read and complete the application forms for submission through Grants.gov. You can verify if your Adobe software version is compatible with Grants.gov, and if not, download the necessary version of Adobe from Grants.gov ([http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp)).

### **D. Attaching Files**

The forms included in the application package provide the means for you to attach Adobe Portable Document Format (PDF) files. You may only attach PDF files; **any other file attachment will cause your application to be rejected by Grants.gov**. Grants.gov provides help for converting files to a PDF format: [http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp). Finally, if you are including scanned documents as part of a PDF file, you should scan them at the lowest resolution to minimize the size of the file and expedite the upload process.

The PDF files you attach must adhere to the following properties:

- They must be in a **read-only, non-modifiable format**.
- You must attach only **individual PDF files**; specifically, **attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable PDF file will not be read**.
- You must **give a unique name to each PDF file** that you attach to the forms as Grants.gov *cannot* process an application that includes two or more file attachments that have the same name.
- **File names must be no more than 50 characters**.
- **You must not use special characters (e.g., &, -, \*, %, /, #), blank spaces, periods, or accent marks in the file name**. However, you may use an underscore to indicate word separation in file names (e.g., my\_Attached\_File.pdf).

Please note that if these guidelines are not followed, your application will be rejected by Grants.gov and not forwarded to the Department.

## PART III IES-SPECIFIC INSTRUCTIONS

### **8. APPLICATION PACKAGE AVAILABLE ON GRANTS.GOV**

#### **A. Application Package on Grants.gov**

You must use the Research and Related (R&R) standard forms to prepare and submit applications. These forms are covered by OMB number 4040-0001 and OMB Number 4040-0010.

**Note:** OMB has granted an extension to allow continued use of the SF 424 Research & Related family of forms. Without the extension, the forms package would have expired on June 30, 2011.

These forms are contained in the IES application packages on Grants.gov. On March 6, 2012, the Institute announced competitions with June 21, 2012 and September 20, 2012 deadlines. The application packages for the September 20, 2012 deadline will be available on Grants.gov beginning on or around July 19, 2012.

#### **B. Download Correct Application Package**

**You must download the application package designated for the *competition and deadline date* to which you wish to apply or the application will be submitted to the wrong**

**competition.** Each application package is assigned a unique title that includes the CFDA number and the deadline date for that competition. For example, you must use the September package marked "84-305A2013-2" to submit an application to the Education Research competition with the closing date of September 20, 2012.

**Note:** If you downloaded an application package for the June deadline (e.g., "84-305A2013-1") and then decided to delay submission of your application until the September deadline, you *must not use* the June package. **Grants.gov will not accept an application on the September deadline that is submitted using a June package.** Instead, you must download the September package (e.g., "84-305A2013-2") for the September submission or the application will be rejected by Grants.gov.

### **9. APPLICATION CONTENT AND FORMATTING REQUIREMENTS**

#### **A. Overview**

You must use the Research & Related standard forms to prepare and submit applications. The application contents – forms and attachments – described below, and summarized in section 9.H *Summary of Application Content Requirements* (Table 3) represent the body of an application to the Institute. All applications for Institute funding must be self-contained. As examples, reviewers are under no obligation to view an Internet website if you include the site address (URL) in the application, nor may you submit additional materials directly to the Institute after the application package is submitted.

All of the instructions and requirements regarding (a) submission of the application, (b) acceptable format, and (c) necessary attachments (PDF files) are provided in this IES *Grants.gov Application Submission Guide*. All of the required forms will be provided in the relevant Grant Application Package that is available on Grants.gov.

In this section, the Institute provides instructions regarding the content of the (a) Research & Related (R&R) standard forms, (b) biographical sketches of senior/key personnel, (c) lists of current and pending funding for senior/key personnel, (d) narrative budget justification, (e) human subjects narrative, and (f) additional forms.

## B. Required Research & Related (R&R) Forms and Other Forms

You must complete and submit the R&R forms described below. **Please note that fields marked by an asterisk and highlighted in yellow and outlined in red on these forms are required fields and *must be completed to ensure a successful submission.***

**Note:** Although not required fields, **Items 4a (Federal Identifier) and b (Agency Routing Number) on the Application for Federal Assistance SF 424 (R&R) form provide critical information to the Institute and should be filled out as appropriate.**

### a. Application for Federal Assistance SF 424 (R&R)

This form asks for general information about the applicant, including but not limited to: contact information; an Employer Identification Number (EIN); a DUNS number; a descriptive title for the project; an indication of the project topic and, for program announcements that have explicit goals, the appropriate goal; Principal Investigator contact information; start and end dates for the project; congressional district; total estimated project funding; and Authorized Representative contact information. Because information on this form populates selected fields on some of the other forms described below, you should complete this form first.

Provide the requested information using the drop down menus when available. Guidance for completing selected items follows.

(i) Item 1

Type of Submission. Select either "Application" (for a new submission) or "Changed/Corrected Application" (for a resubmission). The Institute does not require Pre-applications for its grant competitions.

(ii) Item 2

Date Submitted. Enter the date the application is submitted to the Institute.

Applicant Identifier. Leave this blank.

(iii) Item 3

Date Received by State and State Application Identifier. Leave these items blank.

(iv) Item 4

**Note:** This item provides important information that is used by the Institute to screen applications for responsiveness to the competition requirements and for assignment to the appropriate scientific peer review panel. **It is critical that you complete this information completely and accurately or the application may be rejected as non-responsive or assigned inaccurately for scientific review of merit.**

**a. Federal Identifier.** **Enter information in this field if this is a Resubmission and this has been marked as a "Changed/Corrected Application" under Item 1 *Type of Submission*.** If this submission is to revise a submission to a prior grant competition that has received reviewer comments, this is considered a "Resubmission" (see Item 8 *Type of Application*). You should **enter the PR/Award number that was assigned to the prior submission (e.g., R305A11XXXX or R324A12XXXX) in this field.**

b. Agency Routing Number. **If appropriate, enter the code for the topic and the goal that the application addresses in this field.** Applications to the Education Research (84.305A) and Special Education Research (84.324A) programs must be submitted to a particular topic and goal. Applications to the Research Training Programs in the Education Sciences (84.305B) must be submitted to one of two specific topics. Do not enter a code in Item 4b if you are applying to 84.305E, 84.305H, 84.324B, or 84.324D.

<b>Table 2: SF 424 (R&amp;R) Item 4b Codes for 84.305A, 84.324A and 84.305B Applications</b>	
<b>Topic Codes</b>	
Education Research (CFDA 84.305A)	
<b>Topics</b>	<b>Codes</b>
Cognition and Student Learning	NCER-CASL
Early Learning Programs and Policies	NCER-ELPP
Education Technology	NCER-EdTech
Effective Teachers and Effective Teaching	NCER-Teach
English Learners	NCER-EL
Improving Education Systems: Policies, Organization, Management, and Leadership	NCER-SYS
Mathematics and Science Education	NCER-MS
Postsecondary and Adult Education	NCER-PostsecAdult
Reading and Writing	NCER-RW
Social and Behavioral Context for Academic Learning	NCER-SocBeh
Special Education Research (CFDA 84.324A)	
<b>Topics</b>	<b>Codes</b>
Autism Spectrum Disorders	NCSER-ASD
Cognition and Student Learning in Special Education	NCSER-CASL
Early Intervention and Early Learning in Special Education	NCSER-EIEL
Families of Children with Disabilities	NCSER-Fam
Mathematics and Science Education	NCSER-MS
Professional Development for Teachers and Related Services Providers	NCSER-PD
Reading, Writing, and Language Development	NCSER-RWL
Social and Behavioral Outcomes to Support Learning	NCSER-SocBeh
Special Education Policy, Finance, and Systems	NCSER-SYS
Technology for Special Education	NCSER-EdTech
Transition Outcomes for Secondary Students with Disabilities	NCSER-Trans
Research Training Programs in the Education Sciences (84.305B)	
<b>Topics</b>	<b>Codes</b>
Postdoctoral Research Training Program in the Education Sciences	NCER Postdoc
Researcher and Policymaker Training Program in the Education Sciences	NCER Research/Policy
<b>Goal Codes</b>	
Education Research (CFDA 84.305A) & Special Education Research (CFDA 84.324A)	
<b>Goals</b>	<b>Codes</b>
Goal 1: Exploration Projects	Exploration
Goal 2: Development and Innovation Projects	Development
Goal 3: Efficacy and Replication Projects	Efficacy
Goal 4: Effectiveness Projects	Effectiveness
Goal 5: Measurement Projects	Measurement

Examples: If your application is a Development and Innovation project under the Effective Teachers and Effective Teaching topic within Education Research (84.305A), enter the codes "NCER-Teach" and "Development." If your application is a Measurement project under the Reading, Writing, and Language Development topic within Special Education Research (84.324A), enter the codes "NCSE-RWL" and "Measurement."

**It is critical that you use the appropriate codes in this field and that the codes shown in this field agree with the topic and goal (if appropriate) that you indicate in the application abstract.** Indicating the correct topic and goal facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and puts your application at risk for being identified as non-responsive and not considered for further review.

(v) Item 5

Applicant Information. Enter all of the information requested, including the legal name of the applicant, the name of the primary organizational unit (e.g., school, department, division, etc.) that will undertake the activity, and the address, including the county and the nine-digit ZIP/Postal Code of the primary performance site (i.e., the Applicant institution) location. This field is required if the Project Performance Site is located in the United States. The field for "Country" is pre-populated with "USA: UNITED STATES." For applicants located in another country, contact the cognizant program officer (see section 6.C for a list of contact persons) before submitting the application. Use the drop down menus where they are provided.

Organizational DUNS. Enter the DUNS or DUNS+4 number of the applicant organization. A **Data Universal Numbering System (DUNS)** number is a unique nine-character identification number provided by the commercial company Dun & Bradstreet (D&B) to identify organizations. If your institution does not have a DUNS number and therefore needs to register for one, a DUNS number can be obtained through the Dun & Bradstreet website <http://fedgov.dnb.com/webform/displayHomePage.do>.

**Note:** The DUNS number provided on this form must be the same DUNS number used to register on Grants.gov (and the same as the DUNS number used when registering with the Central Contractor Registry). **If the DUNS number used in the application is not the same as the DUNS number used to register with Grants.gov, the application will be rejected with errors by Grants.gov.**

Person to Be Contacted on Matters Involving this Application. Enter all of the information requested, including the name, telephone and fax numbers, and email address of the person to be contacted on matters involving this application. The role of this person is primarily for communication purposes on the budgetary aspects of the project. As an example, this may be the contact person from the applicant institution's office of sponsored projects. Use the drop down menus where they are provided.

(vi) Item 6

Employer Identification (EIN) or (TIN). Enter either the Employer Identification Number (EIN) or Tax Identification Number (TIN) as assigned by the Internal Revenue Service. If the applicant organization is not located in the United States, enter 44-4444444.

## (vii) Item 7

Type of Applicant. Use the drop down menu to select the type of applicant. If other, please specify.

Small Business Organization Type. If "Small Business" is selected as Type of Applicant, indicate whether or not the applicant is a "Women Owned" small business – a small business that is at least 51% owned by a woman or women, who also control and operate it. Also indicate whether or not the applicant is a "Socially and Economically Disadvantaged" small business, as determined by the U.S. Small Business Administration pursuant to section 8(a) of the Small Business Act U.S.C. 637(a).

## (viii) Item 8

Type of Application. Indicate whether the application is a "New" application or a "Resubmission" of an application submitted under a previous IES competition that received reviewer comments. Only the "New" and "Resubmission" options apply to Institute competitions. Do not select any option other than "New" or "Resubmission."

Submission to Other Agencies. Indicate whether or not this application is being submitted to another agency or agencies. If yes, indicate the name of the agency or agencies.

## (ix) Item 9

Name of Federal Agency. Do not complete this item. The name of the federal agency to which the application is being submitted will already be entered on the form.

## (x) Item 10

Catalog of Federal Domestic Assistance Number. Do not complete this item. The CFDA number of the program competition to which the application is being submitted will already be entered on the form. The CFDA number can be found in the Federal Register Notice and on the face page of the Request for Applications.

## (xi) Item 11

Descriptive Title of Applicant's Project. Enter a *distinctive, descriptive* title for the project. The maximum number of characters allowed in this item field is 200.

## (xii) Item 12

Proposed Project Start Date and Ending Date. Enter the proposed start date of the project and the proposed end date of the project. For applications submitted under the September 20, 2012 deadline, the start date must not be earlier than July 1, 2013, which is the Earliest Anticipated Start Date listed in the Request for Applications, and must not be later than September 1, 2013.

## (xiii) Item 13

Congressional District of Applicant. For both the applicant and the project, enter the Congressional District in this format: 2 character State Abbreviation - 3 character District Number (e.g., CA-005 for California's 5th district, CA-012 for California's 12th district). A Congressional Directory with congressional district code information can be found on the

Grants.gov web site <http://www.grants.gov/help/relatedlinks.jsp> under "Miscellaneous Resources." If the program/project is outside the US, enter 00-000.

(xiv) Item 14

Project Director/Principal Investigator Contact Information. Enter all of the information requested for the Project Director/Principal Investigator, including position/title, name, address (including county), organizational affiliation (e.g., organization, department, division, etc.), telephone and fax numbers, and email address. Use the drop down menus where they are provided.

(xv) Item 15

Estimated Project Funding

a. Total Federal Funds Requested. Enter the total Federal funds requested for the *entire* project period.

b. Total Non-federal Funds. Enter the total Non-federal funds requested for the *entire* project period.

c. Total Federal & Non-Federal Funds. Enter the total estimated funds for the *entire* project period, including both Federal and non-Federal funds.

d. Estimated Program Income. Identify any program income estimated for the project period, if applicable.

(xvi) Item 16

Is Application Subject to Review by State Executive Order 12372 Process? The Institute is not soliciting applications that are subject to review by Executive Order 12372, therefore check the box "Program is not covered by E.O. 12372" to indicate "No" for this item.

(xvii) Item 17

This is the Authorized Representative's electronic signature.

By providing the electronic signature, the Authorized Representative certifies:

- (1) to the statements contained in the list of certifications
- (2) that the statements are true, complete and accurate to the best of his/her knowledge.

By providing the electronic signature, the Authorized Representative also provides the required assurances, agrees to comply with any resulting terms if an award is accepted, and acknowledges that any false, fictitious, or fraudulent statements or claims may subject him/her to criminal, civil, or administrative penalties.

Note: The certifications and assurances referred to here are also identified below under g. *Other Forms Included in the Application Package.* The certifications and assurances forms are included in the Grants.gov Grant Application Package for the specific U.S. Department of Education/Institute Funding Opportunity.

(xviii) Item 18

SF LLL or other Explanatory Documentation. Do not add the SF LLL here. A copy of the SF LLL is provided as an optional document within the application package. See below section g. *Other Forms Included in the Application Package* to determine applicability. If it is applicable to the grant submission, choose the SF LLL from the optional document menu, complete it, and save the completed SF LLL form as part of the application package.

(xix) Item 19

Authorized Representative. The Authorized Representative is the official who has the authority both to legally commit the applicant to (1) accept federal funding and (2) to execute the proposed project. Enter all information requested for the Authorized Representative (AR), including name, title, organizational affiliation (e.g., organization, department, division, etc.), address, telephone and fax numbers, and email address of the Authorized Representative. Use the drop down menus where they are provided.

Signature of Authorized Representative. Leave this item blank as it is automatically completed when the application is submitted through Grants.gov.

Date Signed. Leave this item blank as the date is automatically generated when the application is submitted through Grants.gov.

(xx) Item 20

Pre-application. Do not complete this item as the Institute does not require Pre-applications for its grant competitions.

**b. Research & Related Senior/Key Person Profile (Expanded)**

This form asks you to: (a) identify the project director/principal investigator and other senior and/or key persons involved in the project; (b) specify the role key staff will serve; and (c) provide contact information for each senior/key person identified. The form also requests information about the highest academic or professional degree or other credentials earned and the degree year.

This form also provides the means for attaching the biographical sketches of senior/key personnel and the lists of current and pending funding for senior/key personnel as PDF files. This form will allow for the attachment of a total of 40 biographical sketches and 40 lists of current and pending support: one of each for the project director/principal investigator and up to 39 additional sketches and lists for senior/key staff. See Section 9E *Biographical Sketches of Senior/Key Personnel* and 9F *Current & Pending Support of Senior/Key Personnel* of this document for information about page limitations, format requirements, and content to be included in the biographical sketches and lists of current and pending funding. The persons listed on this form should be the same persons listed in the Personnel section of the Project (training program) narrative (see relevant Request for Applications).

**c. Project/Performance Site Location(s)**

This form asks you to identify the primary site where project work will be performed. You must complete the information for the primary site. If a portion of the project will be performed at any other site(s), the form also asks you to identify and provide information about the additional site(s). As an example, a research proposal to an Institute competition may include the applicant institution as the primary site and one or more schools where data collection will take place as additional sites. The form permits the identification of eight project/performance site locations in total. This form requires the applicant to identify the Congressional District for each site. See above, Section a. *Application for Federal Assistance*

SF 424 (R&R), Item 13 for information about Congressional Districts. **DUNS number information is optional on this form.**

#### **d. Research & Related Other Project Information**

This form asks you to provide information about any research that will be conducted involving Human Subjects, including: (a) whether human subjects are involved; (b) if human subjects are involved, whether or not the project is exempt from the human subjects regulations; (c) if the project is exempt from the regulations, an indication of the exemption number(s); and, (d) if the project is not exempt from the regulations, whether an Institutional Review Board (IRB) review is pending; and if IRB approval has been given, the date on which the project was approved; and, the Human Subject Assurance number. This form also asks you: (a) whether there is proprietary information included in the application; (b) whether the project has an actual or potential impact on the environment; (c) whether the research site is designated or eligible to be designated as an historic place; and, (d) if the project involves activities outside the U.S., to identify the countries involved.

This form also provides the means for attaching a number of documents (PDF files) including the

- a. Project (Training Program) Summary/Abstract,
- b. Project (Training Program) Narrative and Appendices,
- c. Bibliography and References Cited, and
- d. Research on Human Subjects Information.

See the General Submission and Review Information in the relevant Request for Applications for information about the project (training program) summary/abstract, project (training program) narrative and appendices, and bibliography and references cited. See Item 12 of this section and Part IV of this guide, *Information on the Protection of Human Subjects in Research*, for information about the human subjects narrative.

(i) Item 1

Are Human Subjects Involved? If activities involving human subjects are planned at any time during the proposed project at any performance site or collaborating institution, you must check "Yes." (You must check "Yes" even if the proposed project is exempt from Regulations for the Protection of Human Subjects.) If there are no activities involving human subjects planned at any time during the proposed project at any performance site or collaborating institution, you may check "No" and skip to Item 2.

Is the Project Exempt from Federal Regulations? If all human subject activities are exempt from Human Subjects regulations, then you may check "Yes". You are required to answer this question if you answered "yes" to the first question "Are Human Subjects Involved?"

If you answer "yes" to the question "Is the Project Exempt from Federal Regulations?" you are required to check the appropriate exemption number box or boxes corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are explained in Part IV of this guide, *Information on the Protection of Human Subjects in Research*.

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" you will be prompted to answer questions about the Institutional Review Board (IRB) review.

If no, is the IRB review pending? Answer either "Yes" or "No".

If you answer “yes” because the review is pending, then leave the IRB approval date blank. If you answer “no” because the review is not pending, then you are required to enter the latest Institutional Review Board approval date, if available. Therefore, **you should select “No” only if a date is available for IRB approval.**

**Note:** IRB Approval may *not* be pending *because you have not begun the IRB process*. In this case, an IRB Approval Date will not be available. However, a date must be entered in this field if “No” is selected or the application will be rejected with errors by Grants.gov. Therefore, **you should check “Yes” to the question “Is the IRB review Pending?” if an IRB Approval date is not available.**

Human Subject Assurance Number: Leave this item blank.

(ii) Item 2

Are Vertebrate Animals used? Check whether or not vertebrate animals will be used in this project.

(iii) Item 3

Is proprietary/privileged information included in the application? Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check “Yes” and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to: “The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

(iv) Item 4

Does this project have an actual or potential impact on the environment? Check whether or not this project will have an actual or potential impact on the environment.

(v) Item 5

Is the research site designated, or eligible to be designated as a historic place? Check whether or not the research site is designated, or eligible to be designated as a historic place. Explain if necessary.

(vi) Item 6

Does the project involve activities outside of the United States or partnerships with international collaborators? Check “Yes” or “No.” If the answer is “Yes,” then you need to identify the countries with which international cooperative activities are involved. An explanation of these international activities or partnerships is optional.

(vii) Item 7.

Project (Training Program) Summary/Abstract. Attach the Project (Training Program) Summary/Abstract as a PDF file here. (See relevant Request for Applications for information on content.)

(viii) Item 8.

Project (Training Program) Narrative. Create a single PDF file that contains the Project (Training Program) narrative as well as, where applicable, Appendix A, Appendix B, Appendix C, and Appendix D. Attach that single PDF file here. (See relevant Request for Applications for information on content.)

(ix) Item 9.

Bibliography and References Cited. Attach the Bibliography and References Cited as a PDF file here. (See relevant Request for Applications for information on content.)

(x) Item 10.

Facilities and Other Resources. *The Institute does not want an attachment here.* Explanatory information about facilities and other resources must be included in the Resources Section of the Project (Training Program) Narrative for the application and may also be included in the Narrative Budget Justification. In the project (training program) narrative of competitive proposals, applicants describe having access to institutional resources that adequately support research activities and access to schools in which to conduct the research. Strong applications document the availability and cooperation of the schools or other education delivery settings that will be required to carry out the research proposed in the application via a letter of agreement from the education organization.

(xi) Item 11.

Equipment. *The Institute does not want an attachment here.* Explanatory information about equipment may be included in the narrative budget justification.

(xii) Item 12.

Other Attachments. Attach a Research on Human Subjects Narrative as a PDF file here. You must attach either an Exempt Research on Human Subjects Narrative or a Non-Exempt Research on Human Subjects Narrative.

If you checked "Yes" to Item 1 of this form "Are Human Subjects Involved?" and designated an exemption number(s), then you must provide an "Exempt Research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by the U.S. Department of Education that the designated exemption(s) are appropriate. Although no specific page limitation applies to this PDF document, you should be succinct.

If some or all of the planned research activities are covered by (not exempt from) the Human Subjects Regulations, then you must provide a "Nonexempt Research" narrative. The narrative must address seven points:

- 1) Human Subjects Involvement and Characteristics;
- 2) Sources of Materials;
- 3) Recruitment and Informed Consent;
- 4) Potential Risks;
- 5) Protection Against Risk;
- 6) Importance of the Knowledge to be Gained; and

## 7) Collaborating Sites.

Although no specific page limitation applies to this PDF document, you should be succinct.

Note that the U.S. Department of Education does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated U.S. Department of Education official will request that the applicant obtain and send the certification to the Department within *30 days* after the formal request.

See Section IV of this guide *Information on the Protection of Human Subjects in Research* for more information about the content of the Human Subjects Narrative.

### **e. Research & Related Budget (Total Federal + Non-Federal) —Sections A & B; C, D, & E; and F-K**

This form asks you to provide detailed budget information for each year of support requested for the applicant institution (i.e., the Project Budget). The form also asks you to indicate any non-federal funds supporting the project. You should provide this budget information for each project year using all sections of the R&R Budget form. Note that the budget form has multiple sections for each budget year: A & B; C, D, & E; and F-K.

- Sections A & B ask for information about Senior/Key Persons and Other Personnel
- Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs
- Sections F - K ask for information about Other Direct Costs and Indirect Costs

You must complete each of these sections for as many budget periods (i.e., project years) as you are requesting funds.

**Note:** The narrative budget justification for each of the project budget years must be attached at Section K *of the first budget period*, otherwise you will not be able to enter budget information for subsequent project years.

**Note:** Budget information for a subaward(s) on the project must be entered **using a separate form**, the *R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form*, described in section 9.B.f. of this document. This is the only form that can be used to extract the proper file format to complete subaward budget information. **The application will be rejected with errors by Grants.gov if subaward budget information is included using any other form or file format.**

Enter the Federal Funds requested for all budget line items as instructed below. If any Non-Federal funds will be contributed to the project, enter the amount of those funds for the relevant budget categories in the spaces provided.

All fields asking for total funds in this form will auto calculate.

(i) Organizational DUNS.

If you completed the SF 424 R&R Application for Federal Assistance form first the DUNS number will be pre-populated here. Otherwise, the organizational DUNS number must be entered here. See section B.a. *Application for Federal Assistance SF 424 (R&R)* for information on the DUNS number.

- (ii) Budget Type.  
Check the box labeled "Project" to indicate that this is the budget requested for the primary applicant organization. If the project involves a subaward(s), you must access the *R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form* to complete a subaward budget (see section f. below for instructions regarding budgets for a subaward).
- (iii) Budget Period Information.  
Enter the start date and the end date for each budget period. The system permits data entry for up to five budget periods; however, enter only the number of budget periods allowed for the project as detailed in the relevant Request for Applications.
- (iv) Budget Sections A & B
- A. Senior/Key Person. The project director/principal investigator information will be pre-populated here from the SF 424 R&R Application for Federal Assistance form if it was completed first. Then, enter all of the information requested for each of the remaining senior/key personnel, including the project role of each and the number of months each will devote to the project, i.e., calendar or academic + summer. You may enter the annual compensation (base salary – dollars) paid by the employer for each senior/key person; however, you may choose to leave this field blank. Regardless of the number of months devoted to the project, indicate only the amount of salary being requested for each budget period for each senior/key person. Enter applicable fringe benefits, if any, for each senior/key person. Enter the Federal dollars and, if applicable, the Non-Federal dollars.
- B. Other Personnel. Enter all of the information requested for each project role listed – for example Postdoctoral Associates, Graduate Students, Undergraduate Students, Secretary/Clerical, etc. – including, for each project role, the number of personnel proposed and the number of months devoted to the project (calendar or academic + summer). Regardless of the number of months devoted to the project, indicate only the amount of salary/wages being requested for each project role. Enter applicable fringe benefits, if any, for each project role category. Enter the Federal dollars and, if applicable, the Non-Federal dollars.
- Total Salary, Wages, and Fringe Benefits (A + B). This total will auto calculate.
- (v) Budget Sections C, D & E
- C. Equipment Description. Enter all of the information requested for Equipment. Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the applicant organization has established lower levels) and an expected service life of more than one year. List each item of equipment separately and justify each in the narrative budget justification. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. Enter the Federal dollars and, if applicable, the Non-Federal dollars.
- Total C. Equipment. This total will auto calculate.
- D. Travel. Enter all of the information requested for Travel.
- Enter the total funds requested for domestic travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, and number of individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (e.g., 3 days). Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Enter the total funds requested for foreign travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, and number of individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (e.g., 3 days). Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total D. Travel Costs. This total will auto calculate.

E. Participant/Trainee Support Costs. If applicable to the application, enter the funds requested for Participant/Trainee Support Costs, by category.

**Note: This section of the budget is only to be used for training program applications (i.e., applications to 84.305B Research Training Programs in the Education Sciences and 84.324B Research Training Program in Special Education).** Any funds that are to be spent *directly* on trainees and their activities, for example stipends, benefits, and travel, should be entered here in Section E. Other costs associated with trainees such as recruitment should not be entered in this section (see below "Section F. Other Direct Costs" for more information regarding this issue).

**For applications that are submitted to non-training programs (i.e., 84.305A, 84.305E, 84.305H, 84.324A, and 84.324D), do not enter costs in Section E.**

Number of Participants/Trainees. Enter the number of participants/trainees.

Total E. Participants/Trainee Support Costs. This total will auto calculate.

(vi) Budget Sections F-K

F. Other Direct Costs. Enter all of the information requested under the various cost categories. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Materials and Supplies. Enter the total funds requested for materials and supplies. In the narrative budget justification, indicate the general categories of supplies, including an amount for each category. Categories less than \$1,000 are not required to be itemized.

Publication Costs. Enter the total publication funds requested. The proposed budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the narrative budget justification, include supporting information.

Consultant Services. Enter the total costs for all consultant services. In the narrative budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Note: Travel costs for consultants can be included here or in Section D. Travel.

ADP/Computer Services. Enter the total funds requested for ADP/computer services. The cost of computer services, including computer-based retrieval of scientific, technical, and education information may be requested. In the narrative budget justification, include the established computer service rates at the proposing organization if applicable.

Subaward/Consortium/Contractual Costs. Enter the total funds requested for: 1) all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs

proposed for the project. Use the *R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form* to provide detailed subaward information (see below, section f).

Equipment or Facility Rental/User Fees. Enter the total funds requested for equipment or facility rental/user fees. In the narrative budget justification, identify each rental user fee and justify.

Alterations and Renovations. Leave this field blank. The Institute does not provide funds for construction costs.

Other. Describe any other direct costs in the space provided and enter the total funds requested for this "other" category of direct costs. Use the narrative budget justification to further itemize and justify. Note: For training grants, funds requested for training program activities such as recruitment of fellows, invited speakers, or workshops should be entered here.

Total F. Other Direct Costs. This total will auto calculate.

(vii) G. Direct Costs

Total Direct Costs (A thru F). This total will auto calculate.

(viii) H. Indirect Costs

Enter all of the information requested for Indirect Costs. Principal investigators should note that if they are requesting reimbursement for indirect costs, this information is to be completed by their Business Office.

Indirect Cost Type. Indicate the type of base (e.g., Salary & Wages, Modified Total Direct Costs, Other [explain]). In addition, indicate if the Indirect Cost type is Off-site. If more than one rate/base is involved, use separate lines for each. When calculating your expenses for research conducted in field settings, you should apply your institution's negotiated off-campus indirect cost rate, as directed by the terms of your institution's negotiated agreement with the federal government.

Institutions, both primary grantees and sub-awardees, not located in the territorial US cannot charge indirect costs.

If an applicant does not have a current indirect rate(s) approved by a Federal agency, then the applicant must indicate "None--will negotiate". See a discussion of the indirect cost rate topic below under section F. *Narrative Budget Justification* and use the budget justification if additional space is needed to explain.

Indirect Cost Rate (%). Indicate the most recent Indirect Cost rate(s) (also known as Facilities & Administrative Costs [F&A]) established with the cognizant Federal office, or in the case of for-profit organizations, the rate(s) established with the appropriate agency.

If your institution has a cognizant/oversight agency and your application is selected for an award, you must submit the indirect cost rate proposal to that cognizant/oversight agency office for approval. **If your institution does not have a federally negotiated indirect cost rate** you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

Indirect Cost Base (\$). Enter the amount of the base (dollars) for each indirect cost type.

Depending on the grant program to which you are applying and/or the applicant institution's approved Indirect Cost Rate Agreement, some direct cost budget categories in the grant application budget may not be included in the base and multiplied by the indirect cost rate. Use the narrative budget justification to explain which costs are included and which costs are excluded from the base to which the indirect cost rate is applied. If your grant application is selected for an award, the Institute will request a copy of the applicant institution's approved Indirect Cost Rate Agreement.

Note: For training grants, U.S. Department of Education policy (34 CFR 75.562 [c][2]) limits indirect cost reimbursement to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost base, whichever amount is less.

Indirect Cost Funds Requested. Enter the funds requested (Federal dollars and, if applicable, the Non-Federal dollars) for each indirect cost type.

Total H. Indirect Costs. This total will auto calculate.

Cognizant Agency. Enter the name of the Federal agency responsible for approving the indirect cost rate(s) for the applicant. Enter the name and telephone number of the individual responsible for negotiating the indirect cost rate. If a Cognizant Agency is not known, enter "None."

(ix) I. Total Direct and Indirect Costs

Total Direct and Indirect Costs (G + H). This total will auto calculate.

(x) J. Fee.

Generally, a fee is not allowed on a grant or cooperative agreement.

(xi) K. Budget Justification

Attach the Narrative Budget Justification as a PDF file at Section K of the first budget period. Note that if the justification is not attached at Section K of the first budget period, you will not be able to access the form for the second budget period and all subsequent budget periods. The single narrative must provide a budget justification for each year of the entire project.

(xii) Cumulative Budget. This section will auto calculate all cost categories for all budget periods included.

**f. R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form**

This form provides the means to both extract and attach the Research & Related Budget (Total Fed + Non-Fed) form that is to be used by an institution that will hold a subaward on the grant. Please note that separate budgets are required only for subawardee/consortium organizations that perform a substantive portion of the project. As with the Primary Budget, the extracted Research & Related Budget (Total Fed + Non-Fed) form asks you to provide detailed budget information for each year of support requested for a subaward/consortium member with substantive involvement in the project. The budget form also asks for information regarding non-federal funds supporting the project at the subaward/consortium member level. You should provide this budget information for each project year using all sections of the R&R Budget form. Note that the budget form has multiple sections for each budget year: A & B; C, D, & E; and F-K.

- Sections A & B ask for information about Senior/Key Persons and Other Personnel
- Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs
- Sections F - K ask for information about Other Direct Costs and Indirect Costs

“Subaward/Consortium” must be selected as the Budget Type, and all sections of the budget form for each project year must be completed in accordance with the R&R (Federal/Non-Federal) Budget instructions provided above in section e. *Research & Related Budget (Total Federal + Non-Federal) — Sections A & B; C, D, & E; and F-K.* Note that subaward organizations are also required to provide their DUNS or DUNS+4 number.

You may extract and attach up to 10 subaward budget forms. When you use the button “Click here to extract the R&R Budget (Fed/Non-Fed) Attachment,” a Research & Related Budget (Total Fed + Non-Fed) form will open. Each institution that will hold a subaward to perform a substantive portion of the project must complete one of these forms and save it as a PDF file with the name of the subawardee organization. Once each subawardee institution has completed the form, you must attach these completed subaward budget form files to the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form. Each subaward budget form file attached to this form must have a unique name.

**Note:** This R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form must be used to attach *only* one or more Research & Related Budget (Total Fed + Non-Fed) form(s) that have been extracted from this form. Note the form’s instruction: “Click here to extract the R&R Budget (Fed/Non-Fed) Attachment”. **If you attach a file format to this form that was not extracted from this attachment form your application will be rejected with errors by Grants.gov.**

#### **g. Other Forms Included in the Application Package**

You are required to submit the first two forms identified here. You are not required to submit the third form, Disclosure of Lobbying Activities – Standard Form LLL, unless it is applicable. To determine applicability, please review the provisions in Item 1 “Lobbying” of the ED 80-0013 – Combined Assurance Form.

- (1) SF 424B-Assurances-Non-Construction Programs
- (2) ED 80-0013 – Combined Assurance
- (3) Disclosure of Lobbying Activities – Standard Form LLL (if applicable)

#### **C. Summary Descriptions of PDF Attachments to R&R Forms**

For a complete application, you must submit the following as individual attachments to the R&R forms in Adobe Portable Document Format (PDF):

- (1) Project (Training Program) Summary/Abstract;
- (2) Project (Training Program) Narrative, and if applicable, Appendix A, Appendix B, Appendix C, and Appendix D (all together as one PDF file);
- (3) Bibliography and References Cited;
- (4) Research on Human Subjects information (i.e., Exempt or Non-Exempt Research Narrative);
- (5) A Biographical Sketch for each senior/key person;
- (6) A List of Current & Pending Support for each senior/key person;
- (7) A Narrative Budget Justification for the total Project budget; and
- (8) Subaward Budget(s) that has (have) been extracted from the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form, if applicable.

Information about the formatting requirements relative to all of these documents *except* the Subaward budget attachment (described in section 9.B.f.) is provided below.

### **D. General Format Requirements for PDF Attachments to R&R Forms**

Margin, format, and font size requirements for the PDF attachments listed above are described here. See the relevant Request for Applications for additional information about the content and page limits for the (a) Project (Training Program) Summary/Abstract, (b) Project (Training Program) Narrative, (c) Appendix A, (d) Appendix B, (e) Appendix C, (f) Appendix D, and (g) Bibliography and References Cited.

#### **a. Page and margin specifications**

For all Institute research and research training grant applications, a “page” is 8.5 in. x 11 in., on one side only, with 1 inch margins at the top, bottom, and both sides.

#### **b. Spacing**

Text must be single spaced.

#### **c. Type size (font size)**

Type must conform to the following three requirements:

- The height of the letters must not be smaller than a type size of 12 point.
- Type density, including characters and spaces, must be no more than 15 characters per inch (cpi). For proportional spacing, the average for any representative section of text must not exceed 15 cpi.
- Type size must yield no more than 6 lines of type within a vertical inch.

You should check the type size using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/printer combination. The type size used must conform to all three requirements. Small type size makes it difficult for reviewers to read the application; consequently, the use of small type will be grounds for the Institute to return the application without peer review.

Adherence to type size and line spacing requirements is necessary so that no applicant will have an unfair advantage, by using small type or by providing more text in their applications. **These requirements apply to the PDF file as submitted.** As a practical matter, if you use a 12-point Times New Roman font without compressing, kerning, condensing or other alterations the application will typically meet these requirements.

Figures, charts, tables, and figure legends may be in a smaller type size but must be readily legible.

#### **d. Graphs, Diagrams, and Tables**

You are encouraged to use black and white in graphs, diagrams, tables, and charts. If color is used, you must ensure that the material reproduces well when photocopied in black and white.

### **E. Biographical Sketches of Senior/Key Personnel**

#### **a. Submission**

Each sketch will be submitted as a separate PDF attachment and attached to the Research & Related Senior/Key Person Profile (Expanded) form (see section 9.B.b.).

#### **b. Page limitations and format requirements**

A biographical sketch should be provided for the principal investigator and other *key* personnel (co-principal investigators and co-investigators). Each investigator must have a biographical sketch (e.g., abbreviated curriculum vitae) that is no longer than four pages. The biographical sketch must adhere to the margin, format, and font size requirements described above.

### c. Content

Each biographical sketch should include information sufficient to demonstrate that key personnel possess training and expertise commensurate with their specified duties on the proposed project (e.g., publications, grants, relevant research experience). You are reminded to review information in the relevant Request for Applications regarding *The Principal Investigator*.

## F. Current & Pending Support of Senior/Key Personnel

### a. Submission

Each list of current and pending support will be submitted as a separate PDF attachment to the Research & Related Senior/Key Person Profile (Expanded) form (see section 9.B.b.).

### b. Page limitations and format requirements

A one-page list of current and pending support should be provided for the principal investigator and other key personnel (co-principal investigators and co-investigators). The list of current and pending grants must adhere to the margin, format, and font size requirements described above.

### c. Content

Each investigator must provide a list of his/her current and pending grants, along with **the proportion of his/her time, expressed as percent effort over a 12-month calendar year**, allocated to each project. This information is to be provided as a table.

**Note:** Each senior/key person must include the proposed research project as one of his/her pending grants in this list. If the total 12-month calendar year percent effort across all current and pending projects exceeds 100%, you must explain how time will be allocated if all pending applications are successful in the Narrative Budget Justification.

## G. Narrative Budget Justification

### a. Submission

The narrative budget justification must be submitted as a PDF attachment **at Section K of the first project period** of the *Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K* form for the Project. For grant submissions with a subaward(s), a *separate* narrative budget justification for each subaward must be submitted and attached at Section K of the Research & Related Budget (SF 424) for the specific Subaward/Consortium that has been extracted and attached using the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form.

### b. Page limitations and format requirements

There are no page limitations for the narrative budget justification. The narrative budget justification must adhere to the margin, format, and font size requirements described above.

### c. Content

A narrative budget justification must be submitted for the Project budget, and a separate narrative budget justification must be submitted for any subaward budgets included in the application. Each narrative budget justification should provide sufficient detail to allow reviewers to judge whether reasonable costs have been attributed to the project and its subawards, if applicable. The budget justification should correspond to the itemized breakdown of project costs that is provided in the corresponding Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for each year of the project. The narrative should include the **time commitments for key personnel expressed as annual percent effort (i.e., calculated over a 12-month period)** and brief descriptions of the responsibilities of key personnel. For consultants, the narrative should include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and

other related costs. A justification for equipment purchases, supplies, travel (including information regarding number of days of travel, mode of transportation, per diem rates, number of travelers, etc.), and other related project costs should also be provided in the budget narrative for each project year outlined in the Research & Related Budget (SF 424).

**d. Indirect cost rate**

You must use your institution's federal indirect cost rate and use the off-campus indirect cost rate where appropriate (see instructions in the relevant Request for Applications under *Special Considerations for Indirect Cost Rates*).

**If your institution does not have a federally negotiated indirect cost rate** you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

## H. Summary of Application Content Requirements

R&R Form	Required	Instructions Provided	Additional Information
Application for Federal Assistance SF 424 (R & R)	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Senior/Key Person Profile (Expanded)	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Project/Performance Site Location(s)	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Other Project Information	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Budget (Total Federal + Non-Federal): Sections A & B Sections C, D, & E Sections F - K	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form	--	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package. Use this form to <i>extract and attach</i> a subaward budget(s).
SF 424B Assurances – Non-Construction Programs ED 80-0013 – Combined Assurance Disclosure of Lobby Activities – Standard Form LLL (if applicable)	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> --	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Project (Training Program) Summary/Abstract	<input checked="" type="checkbox"/>	Relevant Request for Applications	Add as an attachment (PDF file) using Item 7 of the "Other Project Information" form
Project (Training Program) Narrative and Appendices <ul style="list-style-type: none"> <li>• Narrative</li> <li>• Appendix A</li> <li>• Appendix B</li> <li>• Appendix C</li> <li>• Appendix D</li> </ul>	<input checked="" type="checkbox"/> -- -- -- --	Relevant Request for Applications	The Project (Training Program) Narrative, and if applicable Appendix A, Appendix B, Appendix C, and Appendix D must ALL be included together in one PDF file and attached at Item 8 of the "Other Project Information" form.
Bibliography and References Cited	<input checked="" type="checkbox"/>	Relevant Request for Applications	Add as an attachment (PDF file) using Item 9 of the "Other Project Information" form.

Research on Human Subjects information, if human subjects are involved	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Add as an attachment (PDF file) using Item 12 of the "Other Project Information" form.
Biographical Sketches of Senior/Key Personnel	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Lists of Current & Pending Support for Senior/Key Personnel	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Narrative Budget Justification	<input checked="" type="checkbox"/>	IES Grants.gov Application Submission Guide	Add as an attachment (PDF file) using <i>Section K – Budget Period 1</i> of the "Budget (Total Federal + Non-Federal)" form.

## I. Application Checklist

Table 4 lists all of the steps that must be completed for a valid and timely submission.

Table 4: Application Checklist	
Have each of the following forms been completed?	
	SF 424 Application for Federal Assistance
	For item 4a, is the PR/Award number entered if this is a Resubmission following the instructions on page 14?
	For item 4b, are the correct application topic and goal codes included following the instructions on pages 14-16?
	Senior/Key Person Profile (Expanded)
	Project/Performance Site Location(s)
	Other Project Information
	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F - K
	R&R Subaward Budget (Federal/Non-Federal) Attachment(s) form (if applicable)
	SF 424B Assurances – Non-Construction Programs
	ED 80-0013 – Combined Assurance
	Disclosure of Lobby Activities – Standard Form LLL (if applicable)
Have each of the following items been attached as PDF files in the correct place?	
	Project (Training Program) Summary/Abstract, using Item 7 of the "Other Project Information" form
	Project (Training Program) Narrative, and where applicable, Appendix A, Appendix B, Appendix C, and Appendix D as a single file using Item 8 of the "Other Project Information" form
	Bibliography and References Cited, using Item 9 of the "Other Project Information" form
	Research on Human Subjects Narrative, either the Exempt Research Narrative or the Nonexempt Research Narrative, using Item 12 of the "Other Project Information" form
	Biographical Sketches of Senior/Key Personnel, using "Attach Biographical Sketch" of the "Senior/Key Person Profile (Expanded)" form
	Lists of Current & Pending Support, using "Attach Current & Pending Support" of the "Senior/Key Person Profile (Expanded)" form
	Narrative Budget Justification, using Section K – Budget Period 1 of the "Budget (Total Federal + Non-Federal)" form
	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F – K for the Subaward(s), using the "R&R Subaward Budget (Federal/Non-Federal) Attachment(s)" form, as appropriate
Have the following actions been completed?	
	The correct PDF files are attached to the proper forms in the Grants.gov application package
	The "Check Package for Errors" button at the top of the grant application package has been used to identify errors or missing required information that prevents an application from being processed
	The "Track My Application" link has been used to verify that the upload was fully completed and that the application was processed and validated successfully by Grants.gov before 4:30:00 p.m., Washington, D.C. time on the deadline date

## **PART IV INFORMATION ON THE PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

This section provides information on the U.S. Department of Education's Regulations for the Protection of Human Subjects.

### **A. Definitions**

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### **a. Research**

The Department of Education's Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### **b. Human Subject**

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information."

##### **(i) Data through intervention or interaction with the individual.**

If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.

##### **(ii) Identifiable private information.**

If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).

### **B. Exemptions**

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil

liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* (Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.)

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

### **C. Instructions for Exempt Human Subjects Research Narratives**

If you check "Yes" to the question "Are Human Subjects Involved?" and designate an exemption numbers(s), then you must provide an "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by the Department that the designated exemption(s) are appropriate. The narrative must be succinct.

### **D. Instructions for Non-exempt Human Subjects Research Narratives**

If some or all of the planned research activities are covered (not exempt) from the Human Subjects Regulations, you must provide a "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **a. Human Subjects Involvement and Characteristics**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with

disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

**b. Sources of Materials**

Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

**c. Recruitment and Informed Consent**

Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

**d. Potential Risks**

Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

**e. Protection Against Risk**

Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

**f. Importance of the Knowledge to be Gained**

Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

**g. Collaborating Site(s)**

If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

**E. Where to Find Information**

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

## PART V ALLOWABLE EXCEPTIONS TO ELECTRONIC SUBMISSIONS

You qualify for an exception to the electronic submission requirement and may submit an application in paper format if you are unable to submit the application through the Grants.gov system because:

- (a) you do not have access to the Internet; or
  - (b) you do not have the capacity to upload large documents to the Grants.gov system;
- and
- (c) no later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar date before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Institute explaining which of the two grounds for an exception prevents you from using the Internet to submit the application.

If you mail the written statement to the Institute, it must be postmarked no later than two weeks before the application deadline date. If you fax the written statement to the Institute, the faxed statement must be received no later than two weeks before the application deadline date.

The written statement should be addressed and mailed or faxed to:

Ellie McCutcheon  
Office of Administration and Policy  
Institute of Education Sciences  
U.S. Department of Education  
555 New Jersey Avenue, NW, Room 600E  
Washington, D.C. 20208

FAX: (202) 219-1466

### 1. Applications Sent by Mail

If you request and qualify for an exception to the electronic submission requirement you may submit an application via mail, commercial carrier or hand delivery.

To submit an application by mail, you must mail the original and two copies of the application on or before the deadline date to the address below:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (insert appropriate CFDA number, including suffix letter, if any)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, D.C. 20202 – 4260

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

The Institute does not accept either of the following as proof of mailing through the U.S. Postal Service:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

Note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

If your application is postmarked after the application deadline date, the Institute will not consider your application.

The Application Control Center will mail you a notification of receipt of the grant application. If this notification is not received within 15 business days from the application deadline date, call the U.S. Department of Education Application Control Center at (202) 245-6288.

## **2. Applications Delivered by Hand**

To submit an application by hand, you or your courier must hand deliver the original and two copies of the application by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date. Applications that are hand delivered should be delivered to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (insert appropriate CFDA number, including suffix letter, if any)  
550 12th Street, S.W.  
Potomac Center Plaza - Room 7041  
Washington, D.C. 20202 – 4260

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30:00 p.m. (Washington, D.C. time), except Saturdays, Sundays and federal holidays.